

**BAA 07-42 IPTO Office-wide
Broad Agency Announcement (BAA)**

for

**Information Processing Technology Office (IPTO)
Defense Advanced Research Projects Agency
(DARPA)**

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Part One: Overview Information

- **Federal Agency Name** – Defense Advanced Research Projects Agency (DARPA), Information Processing Technology Office (IPTO)
- **Funding Opportunity Title** – IPTO Office-wide
- **Announcement Type** – Initial Broad Agency Announcement (BAA)
- **Funding Opportunity Number** – BAA 07-42
- **Catalog of Federal Domestic Assistance Numbers (CFDA)** – 12.910 Research and Technology Development
- **Key Dates**
 - Abstract Due Date - 12:00 noon (EDT), July 2, 2008
 - Proposal Due Date– 12:00 noon (EDT), July 2, 2008
- DARPA's Information Processing Technology Office (IPTO) is issuing this BAA, which describes IPTO's broadly defined areas of interest, to allow continuous submission of proposals that do not address individual program requirements covered by other DARPA/IPTO solicitations. ***Offerors should note that no funding has been specifically reserved for this solicitation.*** The primary basis for selecting proposals for acceptance (if any) shall be technical, importance to agency programs, and fund availability. Submission of abstracts is STRONGLY encouraged in advance of full proposals, in order to provide potential offerors with an indication of the relevance and acceptability of their technical ideas under this BAA. Offerors are also encouraged to monitor the IPTO solicitation web page for information on program-specific solicitations, which may be better aligned with their research, and for special focus areas, which may be amended to this solicitation at any time.
- **Agency contact**
 - Technical POC: Chuck Morefield, DARPA/IPTO
 - EMAIL: BAA07-42@darpa.mil
 - FAX: (703) 741-7804
 - ATTN: BAA 07-42
3701 North Fairfax Drive
Arlington, VA 22203-1714

Part Two: Full Text of Announcement

The Defense Advanced Research Projects Agency (DARPA) often selects its research efforts through the Broad Agency Announcement (BAA) process. The BAA will appear first on the FedBizOpps website, <http://www.fedbizopps.gov/>, and Grants.gov website at <http://www.grants.gov/>. The following information is for those wishing to respond to the BAA.

I. FUNDING OPPORTUNITY DESCRIPTION

IPTO Mission and Program Scope

The mission of the Information Processing Technology Office is the development of advanced information processing techniques that deliver substantial improvements in military capability across the spectrum of national security applications.

The scope of military operations is becoming increasingly complex and diverse, and the Defense Department's strategy is highly reliant upon advanced technology, particularly information technology, to meet the challenges resulting from this diverse and complex environment.

IPTO is pursuing a broad Cognitive Systems research agenda that addresses several of these complexity areas. The first area is the development of advanced information processing techniques for increasing warfighter productivity. The second area is applying cognitive systems techniques, focusing on learning, to address software and system requirements associated with the rapidly changing scenarios encountered in military operations. Increasing situational awareness at all levels of command is critical to successful global operations. IPTO supports research in Language Processing with the goal of producing automatic and accurate language translation and distillation. Microelectronics trends continue to offer improvements in "raw computing power." IPTO seeks to develop High Productivity Systems and Software solutions that influence and exploit these improvements and substantially increase the productivity resulting from these trends to support national security applications. DARPA's leadership in the development of modern computing, communications, and information technology is well-known and includes such advances as time-sharing/interactive computing, the ARPANET/internet, advanced microprocessor architectures, natural language processing and search technology.

IPTO intends to continue to address such DARPA-hard information processing problems, as indicated in the above description, and other emerging technical areas.

Offerors are encouraged to look at the DARPA IPTO web site at <http://www.darpa.mil/ipto/index.htm> for our current activities and to monitor <http://www.darpa.mil/ipto/solicitations/solicitations.htm> for new solicitations or updates to current ones.

Proposed research should investigate innovative approaches and techniques in one or more of the above mentioned areas. These approaches and techniques must lead to or enable revolutionary advance in state-of-the-art information processing.

Special Focus Areas

From time to time, DARPA will publish addenda to this BAA that will highlight particular areas of interest. It is highly recommended that potential offerors look periodically for these updates. Addenda may have deadlines for submission of proposals that are

different from the deadline in this announcement. Under addenda, the technical content for a submission as well as the overall structure of the proposed effort may differ. DARPA will not establish a distribution list for automatic distribution of these addenda. **Any specific instructions or criteria in a published addendum will take precedence over this announcement in response to that addendum only.**

II. AWARD INFORMATION

Multiple awards are anticipated. The amount of resources made available to this BAA will depend on the quality of the proposals received and the availability of funds.

Offerors should note that no funding has been specifically reserved for this solicitation. The Government reserves the right to select for negotiation all, some, one, or none of the proposals received in response to this solicitation, and to make awards without discussions with offerors. The Government also reserves the right to conduct discussions if the Source Selection Authority later determines them to be necessary. If warranted, portions of resulting awards may be segregated into pre-priced options. Additionally, DARPA reserves the right to accept proposals in their entirety or to select only portions of proposals for award. In the event that DARPA desires to award only portions of a proposal, negotiations may be opened with that offeror. If the proposed effort is inherently divisible and nothing is gained from the aggregation, offerors should consider submitting it as multiple independent efforts. The Government reserves the right to fund proposals in phases with options for continued work at the end of one or more of the phases.

Awards under this BAA will be made to offerors on the basis of the evaluation criteria listed below (see section V - Application Review Information) and program balance to provide best value to the Government. Proposals identified for negotiation may result in a contract, grant, cooperative agreement, or other transaction, depending upon the nature of the work proposed, the required degree of interaction between parties, and other factors. The Government reserves the right to choose the appropriate instrument. Offerors should note that the required degree of interaction between parties, for all award instruments other than grants, will be high and continuous.

III. ELIGIBILITY INFORMATION

A. Eligible Applicants

All responsible sources capable of satisfying the Government's needs may submit a proposal that shall be considered by DARPA. Historically Black Colleges and Universities (HBCUs), Small Disadvantaged Businesses and Minority Institutions (MIs) are encouraged to submit proposals and join others in submitting proposals. However, no portion of this announcement will be set aside for Small Disadvantaged Business, HBCU and MI participation due to the impracticality of reserving discrete or severable areas of this research for exclusive competition among these entities. Independent proposals from Government/National laboratories may be subject to applicable direct competition limitations, though certain Federally Funded Research and Development Centers are excepted per P.L. 103-337§ 217 and P.L 105-261 § 3136. Foreign entities

and individuals may participate to the extent that such participants comply with any necessary Non-Disclosure Agreements, Security Regulations, Export Laws, and other governing statutes and regulations applicable under the circumstances.

B. Cost Sharing or Matching

Cost sharing is not required for this particular program; however, cost sharing will be carefully considered where there is an applicable statutory condition relating to the selected funding instrument (e.g., for any Technology Investment Agreement under the authority of 10 U.S.C. 2371).

C. Other Eligibility Requirements

1. Procurement Integrity, Standards of Conduct, Ethical Considerations, and Organizational Conflicts of Interest

Certain post-employment restrictions on former federal officers and employees may exist, including special Government employees. These include, but are not limited to, Sections 207 and 208 of Title 18, United States Code, the Procurement Integrity Act, 41 U.S.C. 423, and FAR 3.104).

Prior to the start of proposal evaluations, the Government will assess whether any potential conflict of interest exists in regard to the DARPA Program Manager and other individuals chosen to evaluate proposals received under this BAA.

If a prospective offeror believes that a conflict of interest may exist, the situation should be raised to the DARPA Technical Point of Contact specified in Section VIII before time and effort are expended in preparing a proposal. All offerors and proposed subcontractors must affirm whether they are providing scientific, engineering, and technical assistance (SETA) or similar support to any DARPA technical office(s) through an active contract or subcontract. All affirmations must state which office(s) the offeror supports and identify the prime contract numbers. Affirmations shall be furnished at the time of proposal submission. All facts relevant to the existence or potential existence of organization conflicts of interest (FAR 9.5) must be disclosed. The disclosure shall include a description of the action the offeror has taken or proposed to take to avoid, neutralize, or mitigate such conflict. **Important note: if the offeror does not comply with this disclosure requirement, the proposal will be rejected.**

IV. APPLICATION AND SUBMISSION INFORMATION

A. Address to Request Application Package

This announcement contains all information required to submit a proposal. No additional forms, kits, or other materials are needed. This notice constitutes the total BAA. No additional information is available, nor will a formal Request for Proposal (RFP) or additional solicitation regarding this announcement be issued. Requests for same will be disregarded.

B. Content and Form of Application Submission

Responding to this announcement requires completion of an online Cover Sheet for each abstract and proposal prior to submission. To do so, the offeror must go to <https://csc-ballston.dmeid.org/baa/index.asp?BAAid=07-42> and follow the instructions there. Upon completion of the cover sheet, a Confirmation Sheet will appear. Each offeror is responsible for printing the confirmation sheet and attaching it to the abstract or proposal. If an offeror intends to submit more than one abstract or proposal, a unique UserID and password must be used in creating each cover sheet.

Abstracts

Initial offeror submissions to the Government should be a five-page abstract, which must include a one-page executive summary. The submission of the abstract is intended to avoid unnecessary effort and expense in proposal generation for ideas that will not be selected within this BAA. The purpose of the abstract is to give the offeror the opportunity to solicit early feedback from the Government as to whether or not the research proposed is of interest to DARPA/IPTO. It is thus in the offeror's best interest to clearly articulate the innovative concept and technology development needed with respect to demonstrable metrics. Offerors should avoid using proprietary information or data not critical to the idea being presented. **Classified abstracts will not be accepted.**

Abstract submissions may be made via direct upload to DARPA. Instructions to do so will be provided upon completion of the online cover sheet referenced above. Offerors choosing not to do so must still enter an online cover sheet. In addition, they must send their confirmation sheet and one copy of the abstract on a cd in Microsoft Word or pdf to DARPA/IPTO at the mailing address in Section IV.F below.

Proposals

Proposals shall include the following sections, each starting on a new page (where a "page" is 8-1/2 by 11 inches with type not smaller than 12 point) and with text on one side only. All submissions must be in English.

Individual elements of the proposal shall not exceed the total of the maximum page lengths for each section as shown in braces { } below.

Proposal Section 1. Administrative

1.1 Confirmation Sheet (as described above) will contain the following information:

- Announcement number;
- Technical topic area or task;
- Proposal title;
- Technical point of contact including: name, telephone number, electronic mail address, fax (if available) and mailing address;
- Administrative point of contact including: name, telephone number, electronic mail address, fax (if available) and mailing address;

- Summary of the costs of the proposed research, including total base cost, estimates of base cost in each year of the effort, estimates of itemized options in each year of the effort, and cost sharing if relevant;
- Contractor's type of business, selected from among the following categories:
 - WOMEN-OWNED LARGE BUSINESS,
 - OTHER LARGE BUSINESS,
 - SMALL DISADVANTAGED BUSINESS [Identify ethnic group from among the following: Asian-Indian American, Asian-Pacific American, Black American, Hispanic American, Native American, or Other],
 - WOMEN-OWNED SMALL BUSINESS,
 - OTHER SMALL BUSINESS,
 - HBCU,
 - MI,
 - OTHER EDUCATIONAL,
 - OTHER NONPROFIT
 - FOREIGN CONCERN/ENTITY.

1.2 Table of contents {No page limit}

Proposal Section 2. Detailed Proposal Information

This section provides the detailed discussion of the proposed work necessary to enable an in-depth review of the specific technical and managerial issues. Specific attention must be given to addressing both risk and payoff of the proposed work that make it desirable to DARPA.

2.1 Innovative claims for the proposed research {1 page} This page is the centerpiece of the proposal and should succinctly describe the unique proposed approach and contributions.

2.2 Proposal Roadmap {1 page} provides a top-level view of the content and structure of the proposal. It contains a synopsis for each of the roadmap areas defined below, which should be elaborated elsewhere. It is important to make the synopses as explicit and informative as possible. The roadmap must also cross-reference the proposal page number(s) where each area is elaborated. The required roadmap areas are:

- a. Main goals of the proposed research
- b. Tangible benefits to end users (i.e., benefits of the capabilities afforded if the proposed technology is successful)
- c. Critical technical barriers (i.e., technical limitations that have, in the past, prevented achieving the proposed results)
- d. Main elements of the proposed technical approach
- e. Basis of confidence (i.e. rationale that builds confidence that the proposed approach will overcome the technical barriers)
- f. Risk if work is not done. If DARPA were not to fund the proposed effort, what would be lost? In addition to lost technical opportunities, offerors may wish to consider whether the nature of the proposal is such that it requires large-scale

sustained funding of a substantial team in contrast to the separate funding of individual smaller-scale efforts.

- g. Nature and description of end results to be delivered to DARPA. In what form will results be developed and delivered to DARPA and the scientific community? Note that DARPA encourages experiments, simulations, specifications, proofs, etc. to be documented and published to promote progress in the field. Offerors should specify both final and intermediate products.
- h. Cost and schedule of the proposed effort
- i. Criteria for objectively evaluating progress on a six month or annual basis

2.3 Detailed Research Objectives {2 pages}

- a. Problem Description. Provide concise description of problem area addressed by this research project.
- b. Research Goals. Identify specific research goals of this project. Identify and quantify expected performance improvements from this research. Identify new capabilities enabled by this research. Identify and discuss salient features and capabilities of developmental hardware and software prototypes.
- c. Expected Impact. Describe expected impact of the research project, if successful. Characterize the influence this work is expected to have on the relevant contributing research communities.

2.4 Detailed Technical Approach {3 pages} Provide detailed description of technical approach that will be used in this project to achieve research goals. This section will elaborate on many of the topics identified in the proposal road map and will serve as the primary expression of the offerors' scientific and technical ideas.

2.5 Experimentation Plans {1 page} Offerors should identify any planned experiments to test their hypotheses and must be willing to work with other contractors in order to develop joint experiments and validation. If needed, funding to support experimentation efforts should be included in technology project bids.

2.6 Overall Statement of Work (SOW) {3 pages} In plain English, clearly define the technical tasks/subtasks to be performed, their durations, and dependencies among them. The page length for the SOW will be dependant on the amount of the effort. For each task/subtask, provide:

- A general description of the objective (for each defined task/activity);
- A detailed description of the approach to be taken to accomplish each defined task/activity);
- Identification of the primary organization responsible for task execution (prime, sub, team member, by name, etc.);
- The exit criteria for each task/activity - a product, event or milestone that defines its completion.
- Define all deliverables (reporting, data, reports, software, etc.) to be provided to the Government in support of the proposed research tasks/activities.

Note: It is recommended that the SOW should be developed so that each Phase of the program is separately defined. Do not include any proprietary information in the SOW.

2.7 Personnel, Qualifications, and Commitments {2 pages} List key personnel showing a concise summary of their qualifications, discussion of offeror's previous accomplishments and work in this or closely related research areas. Indicate the level of effort in terms of hours to be expended by each person during each contract year and other (current and proposed) major sources of support for them and/or commitments of their efforts. DARPA expects all key personnel associated with a proposal to make substantial time commitment to the proposed activity and the proposal will be evaluated accordingly.

2.8 Facilities {1 page} Description of the facilities that would be used for the proposed effort. If any portion of the research is predicated upon the use of Government Owned Resources of any type, the offeror shall specifically identify the property or other resource required, the date the property or resource is required, the duration of the requirement, the source from which the resource is required, if known, and the impact on the research if the resource cannot be provided. If no Government Furnished Property is required for conduct of the proposed research, the proposal shall so state.

2.9 Organizational Conflict of Interest Affirmations and Disclosure {No page limit} All offerors and proposed subcontractors must affirm whether they are providing scientific, engineering, and technical assistance (SETA) or similar support to any DARPA technical office(s) through an active contract or subcontract. All affirmations must state which office(s) the offeror supports and identify the prime contract numbers. Affirmations shall be furnished at the time of proposal submission. All facts relevant to the existence or potential existence of organization conflicts of interest (FAR 9.5) must be disclosed. The disclosure shall include a description of the action the offeror has taken or proposed to take to avoid, neutralize, or mitigate such conflict. **Important note: if the offeror does not comply with this disclosure requirement, the proposal will be rejected.**

2.10 Intellectual Property {No page limit}

- a. FARS/DFARS Noncommercial Items IP Restrictions: (Technical Data and Computer Software).

Offerors responding to this solicitation requesting a contract to be issued under the FAR/DFARS shall identify all noncommercial technical data and noncommercial computer software that it plans to generate, develop, and/or deliver under any proposed award instrument in which the Government will acquire less than unlimited rights and to assert specific restrictions on those deliverables. Offerors shall follow the format under DFARS 252.227-7017 for this stated purpose. In the event that offerors do not submit the list, the Government will assume that it automatically has "unlimited rights" to all noncommercial technical data and noncommercial computer software generated, developed, and/or delivered under any award instrument, unless it is substantiated that

development of the noncommercial technical data and noncommercial computer software occurred with mixed funding. If mixed funding is anticipated in the development of noncommercial technical data and noncommercial computer software generated, developed, and/or delivered under any award instrument, then offerors should identify the data, documentation, and software in question as subject to Government Purpose Rights (GPR). In accordance with DFARS 252.227-7013 Rights in Technical Data - Noncommercial Items and DFARS 252.227-7014 Rights in Noncommercial Computer Software and Noncommercial Computer Software Documentation, the Government will automatically assume that any such GPR restriction is limited to a period of five (5) years in accordance with the applicable DFARS clauses, at which time the Government will acquire “unlimited rights” unless the parties agree otherwise. OFFERORS ARE ADVISED THAT OFFERS CONTAINING RESTRICTIONS ON INTELLECTUAL PROPERTY ARE BY NATURE LESS FAVORABLE AND VALUABLE TO THE GOVERNMENT. RESTRICTIONS WILL BE CONSIDERED IN THE EVALUATION PROCESS. If no restrictions are intended, then the offeror should state “NONE.”

A sample list for complying with this request is as follows:

NONCOMMERCIAL			
Technical Data Computer Software To be Furnished With Restrictions	Basis for Assertion	Asserted Rights Category	Name of Person Asserting Restrictions
(LIST)	(LIST)	(LIST)	(LIST)

b. FARS/DFARS Commercial Items IP Restrictions: (Technical Data and Computer Software)

Offerors responding to this solicitation requesting a contract to be issued under the FAR/DFARS shall identify all commercial technical data, and commercial computer software that may be embedded in any noncommercial deliverables contemplated under the research effort, along with any applicable restrictions on the Government’s use of such commercial technical data and/or commercial computer software. In the event that offerors do not submit the list, the Government will assume that there are no restrictions on the Government’s use of such commercial items. OFFERORS ARE ADVISED THAT OFFERS CONTAINING RESTRICTIONS ON INTELLECTUAL PROPERTY ARE BY NATURE LESS FAVORABLE AND VALUABLE TO THE GOVERNMENT. RESTRICTIONS WILL BE CONSIDERED IN THE EVALUATION PROCESS. If no restrictions are intended, then the offeror should state “NONE.”

A sample list for complying with this request is as follows:

COMMERCIAL			
Technical Data Computer Software To be Furnished With Restrictions	Basis for Assertion	Asserted Rights Category	Name of Person Asserting Restrictions
(LIST)	(LIST)	(LIST)	(LIST)

c. Non-FARS/DFARS IP restrictions: (Technical Data and Computer Software)

Offerors responding to this solicitation requesting a Cooperative Agreement, Technology Investment Agreement, or Other Transaction for Prototype shall follow the applicable rules and regulations governing these various award instruments, but, in all cases should appropriately identify any potential restrictions on the Government's use of any Intellectual Property contemplated under those award instruments. This includes both Noncommercial Items and Commercial Items. Although not required, offerors may use a format similar to that described above. OFFERORS ARE ADVISED THAT OFFERS CONTAINING RESTRICTIONS ON INTELLECTUAL PROPERTY ARE BY NATURE LESS FAVORABLE AND VALUABLE TO THE GOVERNMENT. RESTRICTIONS WILL BE CONSIDERED IN THE EVALUATION PROCESS. If no restrictions are intended, then the offeror should state "NONE."

d. Patent dependencies – All offerors

Please include documentation proving your ownership of or possession of appropriate licensing rights to all patented inventions (or inventions for which a patent application has been filed) that will be utilized under your proposal for the DARPA program. If a patent application has been filed for an invention that your proposal utilizes, but the application has not yet been made publicly available and contains proprietary information, you may provide only the patent number, inventor name(s), assignee names (if any), filing date, filing date of any related provisional application, and a summary of the patent title, together with either: 1) a representation that you own the invention, or 2) proof of possession of appropriate licensing rights in the invention.

e. IP representations – All offerors

Please also provide a good faith representation that you either own or possess appropriate licensing rights to all other intellectual property that will be utilized under your proposal for the DARPA program. If you are unable to make such a representation concerning non-patent related intellectual property, please provide a listing of the intellectual property to which you do not have needed rights, and provide a detailed explanation concerning how and when you plan to obtain these rights.

2.11 Human use {No page limit}

All proposals that involve the use of human subjects are required to include documentation of their ability to follow Federal guidelines for the protection of human subjects.

For proposals involving "greater than minimal risk" to human subjects within the first year of the project, performers must provide evidence of protocol submission to a federally approved IRB at the time of final proposal submission to DARPA. For proposals that are forecast to involve "greater than minimal risk" after the first year, a discussion on how and when the offeror will comply with submission to a federally approved IRB must be provided.

Any aspects of a proposal involving human use should be specifically called out as a separate element of the statement of work and cost proposal to allow for independent review and approval of those elements.

If human use is not a factor in a proposal, then the offeror should state "NONE."

Proposal Section 3 Cost Proposal

3.1 Cover sheet {1 page}

- Name and address of offeror (include zip code);
- Name, title, and telephone number of offeror's point of contact;
- Award instrument requested: cost-plus-fixed-fee (CPFF), cost-contract--no fee, cost sharing contract--no fee, or other type of procurement contract (specify), agreement, or other award instrument;
- Place(s) and period(s) of performance;
- Funds requested from DARPA for the Base Effort, each option and the total proposed cost; and the amount of cost share (if any);
- Name, mailing address, telephone number and Point of Contact of the offeror's cognizant government administration office (i.e., Office of Naval Research/Defense Contract Management Agency (DCMA)) (if known);
- Name, mailing address, telephone number, and Point of Contact of the offeror's cognizant Defense Contract Audit Agency (DCAA) audit office (if known);
- Any Forward Pricing Rate Agreement, other such Approved Rate Information, or such other documentation that may assist in expediting negotiations (if available);
- Contractor and Government Entity (CAGE) Code;
- Dun and Bradstreet (DUN) Number;
- North American Industrial Classification System (NAICS) Number [NOTE: This was formerly the Standard Industrial Classification (SIC) Number];
- Taxpayer Identification Number (TIN), and,
- All subcontractor proposal backup documentation to include the items above, as is applicable and available.

3.2 Cost Summaries {2 pages} This section shall contain two tables: (1) The first table must summarize the proposed costs but break them down by project task and phase, i.e., show the costs of each project task for each phase with the task labels on the y-axis and the three phases on the x-axis. It may be appropriate to create a subtotal under some closely related tasks. Table entries should contain the dollar figure and a percentage that specifies the percentage of that phase's total costs that are allocated to said task; (2) the second table should show the costs broken down by prime/subcontractor by phase, i.e., the labels of the prime/subcontractors should be on the y-axis and the three phases on the x-axis. Table entries should contain the dollar figure and a percentage that specifies the percentage of that phase's total costs allocated to said prime or subcontractor.

3.3 Detailed cost breakdown {5 pages} Total program cost broken down by fiscal year. Cost breakdown categories:

- Direct Labor – Individual labor category or person, with associated labor hours and unburdened direct labor rates;
- Indirect Costs – Fringe Benefits, Overhead, General and Administrative Expense, Cost of Money, etc. (must show base amount and rate);
- Travel – Number of trips, number of days per trip, departure and arrival destinations, number of people, etc;
- Subcontract – A cost proposal as detailed as the offeror's cost proposal will be required to be submitted by the subcontractor. The subcontractor's cost proposal can be provided in a sealed envelope with the offeror's cost proposal or will be requested from the subcontractor at a later date;
- Consultant – Provide consultant agreement or other document that verifies the proposed loaded daily/hourly rate;
- Materials – Should be specifically itemized with costs or estimated costs. An explanation of any estimating factors, including their derivation and application, shall be provided. Please include a brief description of the offeror's procurement method to be used;
- Other Direct Costs – Should be itemized with costs or estimated costs. Backup documentation should be submitted to support proposed costs;
- Costs of major program tasks and major cost items by year and month; and,
- Supporting cost and pricing information.

Supplementary information should be provided in sufficient detail to substantiate the summary cost estimates above. Include a description of the method used to estimate costs and supporting documentation. Provide the basis of estimate for all proposed labor rates, indirect costs, overhead costs, other direct costs and materials, as applicable.

3.4 Government Furnished Property {no page limit} Contractors requiring the purchase of information technology (IT) resources as Government Furnished Property (GFP) MUST attach to the submitted proposals the following information:

- A letter on corporate letterhead signed by a senior corporate official and addressed to Dr. Chuck Morefield, Acting Director, DARPA/IPTO, stating that you either can not or will not provide the information technology (IT) resources necessary to conduct the said research;
- An explanation of the method of competitive acquisition or a sole source justification, as appropriate, for each IT resource item;
- If the resource is leased, a lease/purchase analysis clearly showing the reason for the lease decision; and,
- The cost for each IT resource item.

C. Submission Dates and Times

The full proposal (original and designated number of hard and electronic copies) must be submitted in time to reach DARPA by 12:00 noon (EDT) July 2, 2008 in order to be considered.

DARPA will acknowledge receipt of complete submissions via email and assign control numbers that should be used in all further correspondence regarding proposals.

Failure to comply with the submission procedures may result in the submission not being evaluated.

D. Intergovernmental Review - N/A

E. Funding Restrictions

Authorization of precontract costs will be considered in situations of genuine urgency where programmatic benefits will accrue from their use.

F. Other Submission Requirements

Proposals MUST be submitted to DARPA in hard copy (see exception notice below). Postal address: DARPA/IPTO, ATTN: BAA07-42, 3701 N. Fairfax Drive, Arlington, VA 22203-1714. For deliveries that require a phone number, such as FedEx or UPS, please use 703-696-2356, which is the DARPA mailroom. For hand deliveries, the courier shall deliver the package to the DARPA Visitor Control Center at the address specified above. To ensure proper handling, the outer package, as well as the cover page of the proposal, must be marked "IPTO BAA 07-42."

Exception: University (prime) grant submissions may be made via the Grants.gov web site (<http://www.grants.gov/>) by using the "Apply for Grants" function. Duplicate hard/electronic copies do not need to be mailed to DARPA; however, offerors must still submit an online coversheet as described above.

V. APPLICATION REVIEW INFORMATION

A. Evaluation Criteria

Evaluation of proposals will be accomplished through a scientific review of each proposal using the following criteria. While these criteria are listed in descending order of relative importance, it should be noted that the combination of all non-cost evaluation factors is significantly more important than cost.

- 1. Potential Contribution and Relevance to IPTO Mission:** The objective of this criterion is to establish a strong link between this work and the IPTO mission. It is NOT necessary that the proposed work be immediately usable in military systems. It is only necessary that this work contribute to technical areas of need by the DOD. Also considered will be impediments to future transition, including intellectual property restrictions.
- 2. Overall Scientific and Technical Merit:** The overall scientific and technical merit must be clearly identifiable and compelling. The technical concepts should be clearly

defined and developed. The technical approach must be sufficiently detailed to support the proposed concepts and technical claims. Evaluation will also consider the effectiveness of the system integration and management plan.

3. **Offeror's Capabilities, Commitments, Related Experience:** The objective of this criterion is to establish that the offeror has credible capability and experience to complete the proposed work. The qualifications, capabilities, and demonstrated achievements of the proposed principals and other key personnel for the primary and subcontractor organizations must be clearly shown. Moreover, the key individuals must plan to commit sufficient time to the project to ensure its success. The offerors should have a track record of innovation and leadership in the relevant disciplines, and should be professionally well-positioned to influence the research agendas of entire disciplines. Offerors should have sufficient professional and research expertise to be able to react appropriately, plan, and re-plan when serendipitous technical advances and/or negative results arise.
4. **Plans and Capability to Accomplish Technology Transition:** Proposers should provide a clear explanation of how the technologies to be developed will be transitioned to capabilities for government use. Positive impact is desired. Articulation of key relationships with military service units and/or identification of transition paths is encouraged. Proposals should inspire confidence that the technical work will culminate in a transitionable technology. Also considered will be impediments to future transition, including intellectual property restrictions
5. **Cost Realism:** The objective of this criterion is to evaluate whether the costs are aligned with the proposed work plan, whether strategies for cost reduction are being employed effectively, and whether the overall cost/benefit ratio is deemed appropriate. The overall estimated cost to accomplish the effort should be clearly shown as well as the substantiation of the costs for the technical complexity described. Evaluation will consider the value to Government of the research and the extent to which the proposed management plan will effectively allocate resources to achieve the capabilities proposed. Creative approaches to reduce costs by leveraging other ongoing research will be viewed favorably, particularly in support of experimentation. Overall cost is considered a substantial evaluation criterion but is less important than technical excellence. Unrealistically low cost estimates are as undesirable as unreasonably high costs. In general, the proposal cost should be commensurate with the work effort proposed. Adequate detail must be provided to allow proper evaluation of the cost rationale, and cost effective measures must be employed wherever possible.

Award(s) will be made to offerors whose proposals are determined to be the most advantageous to the Government, all factors considered, including the potential contributions of the proposed work to the overall research program and the availability of funding for the effort. Award(s) may be made to any offeror(s) whose proposal(s) is determined selectable regardless of its overall rating.

NOTE: OFFERORS ARE CAUTIONED THAT EVALUATION RATINGS MAY BE LOWERED AND/OR PROPOSALS REJECTED IF SUBMITTAL INSTRUCTIONS ARE NOT FOLLOWED.

B. Review and Selection Process

It is the policy of DARPA to ensure impartial, equitable, comprehensive proposal evaluations and to select the source (or sources) whose offer meets the Government's technical, policy, and programmatic goals. Pursuant to FAR 35.016, the primary basis for selecting proposals for acceptance shall be technical, importance to agency programs, and fund availability. In order to provide the desired evaluation, qualified Government personnel will conduct reviews and (if necessary) convene panels of experts in the appropriate areas.

Proposals will not be evaluated against each other, since they are not submitted in accordance with a common work statement. DARPA's intent is to review proposals as soon as possible after they arrive; however, proposals may be reviewed periodically for administrative reasons. For evaluation purposes, a proposal is the document described above in IV.B – Content and Form of Application Submission. Other supporting or background materials submitted with the proposal will be considered for the reviewer's convenience only and not considered as part of the proposal.

Restrictive notices notwithstanding, proposals may be handled for administrative purposes by support contractors. These support contractors are prohibited from competition in DARPA technical research and are bound by appropriate non-disclosure requirements. Subject to the restrictions set forth in FAR 37.203(d), input on technical aspects of the proposals may be solicited by DARPA from non-Government consultants /experts who are strictly bound by the appropriate non-disclosure requirements.

It is the policy of DARPA to treat all proposals as competitive information and to disclose their contents only for the purpose of evaluation. No proposals will be returned. Upon completion of the source selection process, the original of each proposal received will be retained at DARPA and all other copies will be destroyed.

VI. AWARD ADMINISTRATION INFORMATION

A. Award Notices

1. Abstracts

The formal recommendation about whether a full proposal based on an accepted abstract should be submitted will be made as soon as possible. However, the exact time for response will depend on a variety of circumstances, including the number of abstracts received. If DARPA/IPTO does not have interest in your abstract, you will be notified via email. If DARPA/IPTO is interested in receiving more information, you will be notified via email. Offerors should then expect to develop a full proposal. Please note, this recommendation and any additional feedback provided is for the benefit of the

offeror and following these recommendations is not a guarantee that a full proposal will be funded.

2. Proposals

As soon as the evaluation of a proposal is complete, the offeror will be notified that 1) the proposal has been selected for funding pending contract negotiations, or, 2) the proposal has not been selected. These official notifications will be sent via US mail to the Technical POC identified on the proposal coversheet.

B. Administrative and National Policy Requirements

1. Meeting and travel requirements

There will be a program kickoff meeting and all key participants are required to attend. Performers should also anticipate periodic site visits at the program manager's discretion.

2. Security classification

Security classification guidance on a DD Form 254 (DoD Contract Security Classification Specification) will not be provided at this time, since DARPA is soliciting ideas only and does not encourage classified proposals in response to this announcement. However, after reviewing incoming proposals, if a determination is made that contract award may result in access to classified information, a DD Form 254 will be issued upon contract award. ***If you choose to submit a classified proposal you must first receive the permission of the Original Classification Authority to use its information in replying to this announcement.***

3. Human use

Proposals selected for contract award are required to comply with provisions of the Common Rule (32 CFR 219) on the protection of human subjects in research (<http://www.dtic.mil/biosys/downloads/32cfr219.pdf>) and the Department of Defense Directive 3216.2 (<http://www.dtic.mil/whs/directives/corres/html2/d32162x.htm>). All proposals that involve the use of human subjects are required to include documentation of their ability to follow Federal guidelines for the protection of human subjects. This includes, but is not limited to, protocol approval mechanisms, approved Institutional Review Boards, and Federal Wide Assurances. These requirements are based on expected human use issues sometime during the entire length of the proposed effort.

For proposals involving "greater than minimal risk" to human subjects within the first year of the project, performers must provide evidence of protocol submission to a federally approved IRB at the time of final proposal submission to DARPA. For proposals that are forecasted to involve "greater than minimal risk" after the first year, a discussion on how and when the offeror will comply with submission to a federally approved IRB needs to be provided in the submission. More information on applicable federal regulations can be found at the Department of Health and Human Services – Office of Human Research Protections website (<http://www.dhhs.gov/ohrp/>).

Any aspects of a proposal involving human use should be specifically called out as a separate element of the statement of work and cost proposal to allow for independent review and approval of those elements.

4. Animal Use

Any Recipient performing research, experimentation, or testing involving the use of animals shall comply with the rules on animal acquisition, transport, care, handling, and use in: (i) 9 CFR parts 1-4, Department of Agriculture rules that implement the Laboratory Animal Welfare Act of 1966, as amended, (7 U.S.C. 2131-2159); and (ii) the guidelines described in National Institutes of Health Publication No. 86-23, "Guide for the Care and Use of Laboratory Animals."

5. Publication approval

Offerors are advised if they propose grants or cooperative agreements, DARPA may elect to award other award instruments. DARPA will make this election if it determines that the research resulting from the proposed program will present a high likelihood of disclosing performance characteristics of military systems or manufacturing technologies that are unique and critical to defense. Under such circumstances, any resulting award will include a requirement for DARPA permission before publishing any information or results on the program.

The following provision will be incorporated into any resultant procurement contract or other transaction:

When submitting material for written approval for open publication, the Contractor/Awardee must submit a request for public release to the DARPA TIO and include the following information: 1) Document Information: document title, document author, short plain-language description of technology discussed in the material (approx. 30 words), number of pages (or minutes of video) and document type (briefing, report, abstract, article, or paper); 2) Event Information: event type (conference, principle investigator meeting, article or paper), event date, desired date for DARPA's approval; 3) DARPA Sponsor: DARPA Program Manager, DARPA office, and contract number; and 4) Contractor/Awardee's Information: POC name, e-mail and phone. Allow four weeks for processing; due dates under four weeks require a justification. Unusual electronic file formats may require additional processing time. Requests can be sent either via e-mail to tio@darpa.mil or via 3701 North Fairfax Drive, Arlington VA 22203-1714, telephone (571) 218-4235. Refer to www.darpa.mil/tio for information about DARPA's public release process.

6. Export Control

Should this project develop beyond fundamental research (basic and applied research ordinarily published and shared broadly within the scientific community) with military or dual-use applications, the following apply:

- The Contractor shall comply with all U. S. export control laws and regulations, including the International Traffic in Arms Regulations (ITAR), 22 CFR Parts 120 through 130, and the Export Administration Regulations (EAR), 15 CFR Parts 730 through 799, in the performance of the contract or agreement. In the absence of available license exemptions/exceptions, the Contractor shall be responsible for obtaining the appropriate licenses or other approvals, if required, for exports (including deemed exports) of hardware, technical data, software, and the provision of technical assistance.
- The Contractor shall be responsible for obtaining export licenses, if required, before utilizing foreign persons in the performance of this contract, including instances where the work is to be performed on-site at any Government installation (whether in or outside the United States), where the foreign person will have access to export-controlled technology.
- The Contractor shall be responsible for all regulatory record keeping requirements associated with the use of licenses and license exemptions/exceptions.
- The Contractor shall be responsible for ensuring that the provisions of this clause apply to its subcontractors.

C. Reporting

The award document for each proposal selected and funded will contain a mandatory requirement for four DARPA/IPTO Quarterly Status Reports each year, one of which will be an annual project summary. These reports will be electronically submitted by each awardee under this BAA via the DARPA Technical – Financial Information Management System (T-FIMS). The T-FIMS URL and instructions will be furnished by the contracting agent upon award.

In addition, each performing contractor (including subs) on each team will be expected to provide monthly status reports to the Program Manager. There may also be additional reporting requirements for grants, cooperative agreements and Other Transactions.

VII. AGENCY CONTACTS

DARPA will use electronic mail for all technical and administrative correspondence regarding this BAA, with the exception of selected/not-selected notifications.

Administrative, technical or contractual questions should be sent via e-mail to BAA07-42@darpa.mil. If e-mail is not available, please fax questions to (703) 741-7804, Attention: IPTO Office BAA. All requests must include the name, email address, and phone number of a point of contact.

Solicitation Web site and Electronic File Retrieval:
<http://www.darpa.mil/ipto/solicitations/solicitations.htm>.

VIII. OTHER INFORMATION

The solicitation web page at www.darpa.mil/ipto/solicitations/solicitations.htm will have a Frequently Asked Questions (FAQ) list.